

# INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Docket Number (Optional)

021286/027 633

Application Number

09/844,684

Applicant(s)

Mikayama, et al.

Filing Date

April 27, 2001

Group Art Unit

1645

64Y

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
M		5,677,165	10/14/97	de Boer, et al.			May 28, 1993
		5,786,456	7/28/98	Ledbetter, et al.			Sept. 20, 1993
		5,801,227	9/1/98	Fanslow, III, et al.			Sept. 8, 1995
M		5,874,082	2/23/99	de Boer			Feb. 23, 1996

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
M		WO 99/42075	08/26/99	PCT			✓	

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

M		Tomizuka, et al., "Double trans-chromosomal mice: Maintenance of two individual human chromosome fragments containing Ig heavy and kappa loci and expression of fully human antibodies", PNAS, Jan. 18, 2000, Vol. 97, no. 2.
M		Schoenberger, et al., "T-cell help for cytotoxic T lymphocytes is mediated by CD40-CD40L interactions", Nature, Vol. 393, June 4, 1998.

EXAMINER

PHUUPG smbz 6/13/03

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

# INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Docket Number (Optional)

021286/027 633

Application Number

09/844,684

Applicant(s)

Mikayama, et al.

Filing Date

4/27/01

Group Art Unit

1643 1644

\*EXAMINER

INITIAL

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Stamenkovic, et al., "A B-lymphocyte activation molecule related to the nerve growth factor receptor and inuced by cytokines in carcinomas", The EMBO Journal, Vol. 8, no. 5, pp. 1403-1410, 1989.

Clark, et al., "CDw40 and BLCa-specific monoclonal antibodies detect two distinct molecules which transmit progression signals to human B lymphocytes\*", Eur. J. Immunol., 1988, 18: 451-457.

Ledbetter, et al., "Augmentation of Normal and Malignant B Cell Proliferation by Monoclonal Antibody to the B Cell-Specific Antigen BP50 (CDW40), The Journal of Immunology, Vol. 138, pp. 788-794, No. 3, February 1, 1987.

Clark, et al., "Activation of human B cells mediated through two distinct cell surface differentiation antigens, Bp35 and Bp50", Proc. Natl. Acad. Sci. USA, Vol. 83, pp. 4494-4498, June 1986.

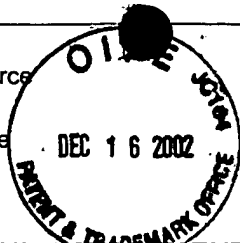
Paulie, et al., "A p50 surface antigen restricted to human urinary bladder carcinomas and B lymphocytes", Cancer Immunology Immunother, (1985), 20: 23-28.

EXAMINER

GAMGEL 6/13/03

DATE CONSIDERED

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Atty.  
Dkt. No.

M#

Client Ref.

021286-0276339

Applicant: Mikayama, T., et al.

Appln. No.: 09/844,684

Filing Date: April 27, 2001

Examiner: Philip Gambel

Group Art Unit: 1644

**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

Date: December 9, 2002

Page

1

of

1

**U.S. PATENT DOCUMENTS**

Examiner's Initials*		Document Number	Date MM/YYYY	Name (Family Name of First Inventor)	Class	Sub Class	Filing Date (if appropriate)
pl	AR	5,786,456	07/1998	Ledbetter, et al.	530	388.73	09/20/93
	BR	6,004,552	12/1999	de Boer, et al.	424	144.1	06/05/95
	CR	6,051,228	04/2000	Aruffo, et al.	424	144.1	02/19/98
	DR						
	ER						
	FR						
	GR						

**FOREIGN PATENT DOCUMENTS**

		Document Number	Date MM/YYYY	Country	Inventor Name		English Abstract		Translation Readily Available	
							Enclosed	No	Enclose	No
	HR	WO 00/75348A1	12/2000	PCT	Siegall, Clay B., et al.	C12N 15/63				
	IR	WO 01/83755 A2	11/2001	PCT	Mikayama, T., et al.	C12N 15/13				
	JR	WO 01/83755 A3	11/2001	PCT	Mikayama, T., et al.	C12N 15/13				
M	KR	WO 02/28904 A2	04/2002	PCT	Chu, K., et al.	C07K 16/28				
	LR									
	MR									
	NR									
	OR									
	PR									
	QR									

**OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)**

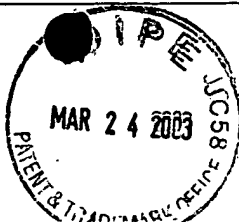
	RR									
	SR									
	TR									
	UR									
	VR									
	WR									

Examiner

Date Considered:

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

Gambel 6/13/03



Atty.  
Dkt. No.

M#

Client Ref.

021286-0276339

Applicant: Mikayama, T., et al.

Appln. No.: 09/844,684

Filing Date: April 27, 2001

Examiner: Philip Gambel

Group Art Unit: 1644

**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

Date: March 20, 2003

Page

1

of

3

**U.S. PATENT DOCUMENTS**

Examiner's Initials*	Document Number	Date MM/YYYY	Name (Family Name of First Inventor)	Class	Sub Class	Filing Date (if appropriate)
AR						
BR						

**FOREIGN PATENT DOCUMENTS**

		Document Number	Date MM/YYYY	Country	Inventor Name	English Abstract		Translation Readily Available	
						Enclosed	No	Enclose	No
✓	CR	WO 91/09115	06/1991	PCT	Banchereau	Y			
	DR	WO 96/33735	10/1996	PCT	Kucherlapati	Y			
	ER	WO 96/34096	10/1996	PCT	Kucherlapati	Y			
	FR	WO 99/61051	12/1999	PCT	Segal	Y			
	GR	WO 00/00156	01/2000	PCT	Wade	Y			
	HR	WO 00/75348 A1	12/2000	PCT	Siegall	Y			
	IR	WO 01/24823	04/2001	PCT	Keting	Y			
	JR	WO 01/56603	08/2001	PCT	Thomas	Y			
	KR	WO 02/28904	04/2002	PCT	Chu	Y			
	LR	EP 0945 465 A1	09/1999	EP	De Boer	Y			
	MR	EP 0972 445 A1	01/2000	EP	Tomizuka	Y			

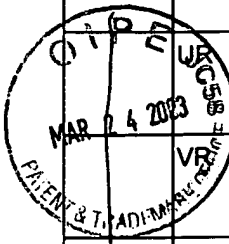
**OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)**

NR	Kwekkeboom, et al., "Helper effector function of human T cells stimulated by anti-CD3 mAb can be enhanced by co-stimulatory signals and is partially dependent on CD40-CD40 ligand interaction," <u>Eur. J. Immunol.</u> (1994), Vol. 24, pp. 508-517.	Y		
OR	Hasbold, et al., "Cell division number regulates IgG1 and IgE switching of B cells following stimulation by CD40 ligand and IL-4," <u>Eur. J. Immunol.</u> (1998), Vol. 28, pp. 1040-1051.	Y		
PR	Pound, et al., "Minimal cross-linking and eptiope requirements for D40-dependent suppression of apoptosis contrast with those for promotion of the cell cycle and homotypic adhesions in human B cells," <u>Int'l Immunol.</u> (1999), Vol. 11, No. 1, pp. 11-20.	Y		
QR	Francisco, et al., "Agonistic Properties and <i>in Vivo</i> Antitumor of the Anti-CD40 Antibody SGN-14," <u>Cancer Research</u> , (June 15, 2000), Vol. 60, pp. 3225-3231.	Y		
RR	Romano, et al., "Triggering of CD40 Antigen Inhibits Fludarabine-Induced Apoptosis in B Chronic Lymphocytic Leukemia Cells," <u>Blood</u> , (August 1, 1998) Vol. 98, No. 3, pp. 990-995.	Y		
SR	Hirano, et al., "Inhibition of Human Breast Carcinoma Growth by a Soluble Recombinant Human CD40 Ligand," <u>Blood</u> , (May 1, 1999), Vol. 93, No. 9, pp. 2999-3007.	Y		

Gambel 6/13/03

RECEIVED  
MAR 24 2003  
TECH CENTER 1600/1900

TR	Francisco, et al., "Construction, Expression, and Characterization of G28-5 sFv, a Single-chain Anti-CD40 Immunotoxin Containing the Ribosome-inactivating Protein Bryodin 1," <u>Journal of Biological Chemistry</u> , (Sept. 26, 1997), Vol. 272, No. 39, pp. 24165-24169.	Y			
WR	Maxwell, et al., "Contrasting the Roles of Costimulation and the Natural Adjuvant Lipopolysaccharide During the Induction of T Cell Immunity," <u>J. Immunol.</u> , (May 1, 2002), Vol. 168, No. 9, pp. 4372-4381.	Y			
VR	Simonsson, et al., "Single, Antigen-Specific B Cells Used to Generate Fab Fragments Using CD40-Mediated Amplification or Direct PCR Cloning," <u>BioTechniques</u> , (1995), Vol. 18, No. 5, pp. 862-869.	Y			
WR	Dullforce, et al., "Enhancement of T cell-independent immune responses <i>in vivo</i> by CD 40 antibodies," <u>Nature Medicine</u> , (Jan. 1998), Vol. 4, No. 1, pp.88 - 91.	Y			
XR	Erickson, et al., "Short-circuiting long-lived humoral immunity by the heightened engagement of CD40," <u>The J. of Clinical Investigation</u> , (March, 2002), Vol. 109, No. 5, pp. 613-620.	Y			
YR	Murphy, et al., "Antibodies to CD40 Prevent Epstein-Barr Virus- Mediated Human B-Cell Lymphomagenesis in Severe Combined Immune Deficient Mice Given Human Peripheral Blood Lymphocytes," <u>Blood</u> , (September 1, 1995), Vol. 86, No. 5, pp. 1946-1953.	Y			
ZR	Funakoshi, et al., "Differential In Vitro and In Vivo Antitumor Effects Mediated by Anti-CD40 and Anti-CD20 Monoclonal Antibodies Against Human B-Cell Lymphomas," <u>J. of Immunology</u> , (1996) Vol. 19, No. 2, pp. 93-101.	Y			
AAR	Schwabe, et al., "Modulation of Soluble CD40 Ligand Bioactivity with Anti-CD40 Antibodies," <u>Hybridoma</u> , (1997), Vol. 16, No. 13, pp. 217-226.	Y			
BBR	Funakoshi, et al., "Inhibition of Human B-Cell Lymphoma Growth by CD40 Stimulation," <u>Blood</u> , (May 15, 1994), Vol. 83, No. 10, pp. 2787-2794.	Y			
CCR	Rolink, et al., "The SCID but Not the RAG-2 Gene Product Is Required for $\mu$ - $\kappa$ Heavy Chain Class Switching," <u>Immunity</u> , (October, 1996) Vol. 5, pp. 319-330.	Y			
DDR	Kwekkeboom, et al., "CD40 plays an essential role in the activation of human B cells by murine EL4B5 cells," <u>Immunology</u> , (1993), Vol. 79, pp. 439-444.	Y			
EER	Zhou, et al., "An Agonist Anti-Human CD40 Monoclonal Antibody that Induces Dendritic Cell Formation and Maturation and Inhibits Proliferation of a Myeloma Cell Line," <u>Hybridoma</u> , Vol. 18, No. 6, 1999, pp. 471-478.	Y			
FFR	Heath, et al., "Monoclonal antibodies to murine CD40 define two distinct functional epitopes," <u>Eur. J. Immunology</u> , (1994) Vol. 24, pp. 1828-1834.	Y			
GGR	Mazzei, et al., "Recombinant Soluble Trimeric CD40 Ligand Is Biologically Active," <u>Journal of Biological Chemistry</u> , (March 31, 1995), Vol. 270, No. 13, pp. 7025-7028.	Y			
HHR	Hasbold, et al., "Properties of mouse CD40: cellular distribution of CD40 and B cell activation by monoclonal anti-mouse CD40 antibodies," <u>Eur. J. Immunology</u> , (1994) Vol. 24, pp. 1835-1842.	Y			
IIR	Weng, et al., "Human Anti-CD40 Antagonistic Antibodies Inhibit the Proliferation of Human B Cell Non-Hodgkin's Lymphoma," Program of the 43 <sup>rd</sup> Annual Meeting of The American Society of Hematology, (December 7-11, 2001), Abstract No. 1947, page 466a.	Y			
JJR	Ledbetter, et al., "Agonistic Activity of a CD40-Specific Single-Chain Fv Constructed from the Variable Regions of mAb G28-5," <u>Critical Reviews in Immunology</u> , (1997), Vol. 17, pp. 427-435.	Y			
KKR	de Boer, et al., "Generation of monoclonal antibodies to human lymphocyte cell surface antigens using insect cells expressing recombinant proteins," <u>Journal of Immunological Methods</u> , (1992) Vol. 152, pp. 15-23.	Y			
LLR	Karlsson, et al., "Selection of human single chain antibodies against CD-40," <u>Immunology Letters</u> , Vol. 73, Nos. 2,3, Abstract No. 358.	Y			
MMR	Sotomayor, et al., "Conversion of tumor-specific CD4 T-cell tolerance to T-cell priming through <i>in vivo</i> ligation of CD40," <u>Nature</u> , (July, 1999), Vol. 398, No. 7, pp. 780-787.	Y			


  
 OIPER
   
 MAR 24 2003
   
 PHARM & T. ADI-MAR 24 2003

RECEIVED
   
 MAR 25 2003
   
 TECH CENTER 1600/2800

Gunnar 6/13/03

NR	Diehl, et al., "CD40 activation in vivo overcomes peptide-induced peripheral cytotoxic T-lymphocyte tolerance and augments anti-tumor vaccine efficacy," <u>Nature Medicine</u> , (July 1999) Vol. 5, No. 7, pp. 774-779.	Y			
OR	Schoenberger, et al., "T-cell help for cytotoxic T lymphocytes is mediated by CD40-CD40L interactions," <u>Nature</u> , (June 4, 1998), Vol. 393, pp.480-483.	Y			
OR	van Mierlo, et al. "CD40 stimulation leads to effective therapy of CD40-tumors through induction of strong systemic cytotoxic T lymphocyte immunity," <u>PNAS</u> , (April 16, 2002) Vol. 99, No. 8, pp. 5561-5566.	Y			
OR	An, et al., "Ligation of CD40 Potentiates Fas-Mediated Activation of the Cysteine Protease CPP32, Cleavage of Its Death Substrate PARP, and Apoptosis in Ramos - Burkitt Lymphoma B Cells," <u>Cellular Immunology</u> , (1997) Vol. 181, pp. 139-152.	Y			
RR	Barr, et al., "Functional activity of CD40 antibodies correlates to the position of binding relative to CD154," <u>Immunology</u> , (2001) Vol. 102, pp. 39-43.	Y			
SS	Baccam, et al., "Membrane-bound CD154, but not CD40-specific antibody, mediates NF- $\kappa$ B-independent IL-6 production in B cells," <u>Er. J. Immunol.</u> , (1999), Vol. 29, pp. 3855-3866.	Y			
TR	Kedl, et al., "CD40 stimulation accelerates deletion of tumor specific CD8+ T cells in the absence of tumor-antigen vaccination," <u>PNAS</u> , (September 11, 2001) Vol. 98, No. 19, pp. 10811-10816.	Y			
UR	Tomizuka, et al., "Double trans-chromosomic mice: Maintenance of two individual human chromosome fragments containing Ig heavy and $\kappa$ loci and expression of fully human antibodies," <u>PNAS</u> , (January 18, 2000) Vol. 97, No. 2, pp. 722-727.	Y			
VVR	Boon, et al., "Preclinical assessment of anti-CD40 Mab 5D12 in cynomolgus monkeys," <u>Toxicology</u> , (2002), Vol. 174, pp. 53-65.	Y			
WVR					
XXR					
YYR					
ZZR					

Examiner

Date Considered:

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

GAMCZ 6/12/03

RECEIVED  
MAR 25 2003  
TECH CENTER 1600/2900